

CERTIFICATE OF MAILING  
37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on the date below:

May 22, 1998  
Date

Steven L. Highlander

Section 6  
2921  
#3  
  
PATENT  
RECEIVED

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JUN 3 1998

In re Application of:  
Shuyuan Zhang, Capucine Thwin  
and Zheng Wu

Group Art Unit: 1641

Examiner: Unknown

Serial No.: 08/975,519

Atty. Dkt. No.: INGN:058/HYL

Filed: November 20, 1997

For: AN IMPROVED METHOD FOR THE  
PRODUCTION AND PURIFICATION OF  
ADENOVIRAL VECTORS

RESPONSE TO 37 C.F.R. § 1.53(D) NOTICE

**BOX MISSING PART**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application Under 37 C.F.R. § 1.53(d),  
dated February 23, 1998, there are enclosed herewith:

(a) Declaration executed on behalf of Shuyuan Zhang, Capucine Thwin and Zheng

Wu;

01 FC:122  
02 FC:101  
03 FC:102  
04 FC:103

(b) A Power of Attorney on behalf of Intell Therapeutics, Inc.;

06/01/1998 H80RD0N 00000023 08975519  
01 FC:122 130.00 OP  
02 FC:101 790.00 OP  
03 FC:102 1230.00 OP  
04 FC:103 176.00 OP  
05 FC:115 110.00 OP  
06 FC:105 130.00 OP

06/01/1998 H80RD0N 00000023 08975519

01 FC:122 130.00 OP  
02 FC:101 790.00 OP  
03 FC:102 1230.00 OP  
04 FC:103 176.00 OP  
A: 152984(3@1K011.DOC)

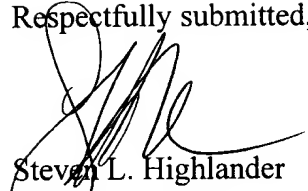
- (c) A Request for a Complete Filing Receipt;
  - (d) Declaration of Dr. Kevin S. Casement;
  - (e) Petition under 37 C.F.R. § 1.47(b) and \$130.00 check;
  - (f) An Information Disclosure Statement, PTO Form 1449 and copy of references;
  - (g) Our check in the amount of \$2,326.00 to cover the basic filing fee (\$790 - utility large entity) ; surcharge for late filing (\$130.00); additional claims fee (\$1,406.00); one month extension of time fee (\$110.00);
  - (h) A copy of Notice to File Missing Parts of Application-Filing Date Granted; and
  - (i) A Request for Extension of Time of one month to and including May 23, 1998.
- Should such request be absent, consider this such a request and authorization to withdraw the appropriate fee under 37 C.F.R. §§ 1.16 to 1.21 as stated below.

An Assignment to Introgen Therapeutics, Inc. and a check for \$40.00 are being filed under separate cover.

If the checks are inadvertently omitted, or should any additional fees under 37 C.F.R. §§ 1.16 to 1.21 be required for any reason relating to the enclosed materials, or should an overpayment be included herein, the Assistant Commissioner is authorized to deduct or credit said fees from or to Arnold, White & Durkee Deposit Account No. 01-2508/INGN:058/HYL.

Please date stamp and return the accompanying postcard to evidence receipt of these documents.

Respectfully submitted,



Steven L. Highlander  
Reg. No. 37,642  
Attorney for Applicant

ARNOLD, WHITE & DURKEE  
P.O. Box 4433  
Houston, Texas 77210-4433  
(512) 418-3000

Date: May 22, 1998



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

#3

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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08/975,519 11/20/97 ZHANG

S INGN: 058

0242/0223

ARNOLD WHITE AND DURKEE  
P O BOX 4433  
HOUSTON TX 77210-4433

NOT ASSIGNED

1641  
DATE MAILED:

02/23/98

### NOTICE TO FILE MISSING PARTS OF APPLICATION Filing Date Granted

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted ALONG WITH THE PAYMENT OF A SURCHARGE for items 1 and 3-6 only of \$ 130 for a ☒ large entity ☐ small entity in compliance with 37 CFR 1.27. The surcharge is set forth in 37 CFR 1.16(e). Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☒ large entity ☐ small entity (verified statement filed), is \$ 2324.

☒ 1. The statutory basic filing fee is:

- ☒ missing.  
☐ insufficient.

Applicant must submit \$ 790 to complete the basic filing fee and/or file a verified small entity statement claiming such status (37 CFR 1.27).

☒ 2. Additional claim fees of \$ 1400, including any multiple dependent claim fees, are required. Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing.  
☐ does not cover the newly submitted items.  
☐ does not identify the application to which it applies.  
☐ does not include the city and state or foreign country of applicant's residence.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are:

- ☐ missing.  
☐ by a person other than inventor or person qualified under 37 CFR 1.42, 1.43, or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application does not comply with the Sequence Rules.

See attached "Notice to Comply with Sequence Rules 37 CFR 1.821-1.825."

☐ 9. OTHER:

Direct the response and any questions about this notice to: "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the response.**



<p style="text-align: center;">CERTIFICATE OF MAILING 37 C.F.R. 1.8</p> <p>I hereby certify that this correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below</p> <p style="text-align: center;">May 22, 1998 Date</p> <p style="text-align: right;"><i>[Signature]</i> Steven L. Highlander</p>
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**PATENT**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:  
Shuyuan Zhang, Capucine Thwin,  
Zheng Wu and Toohyon Cho

Serial No.: 08/975,519

Filed: November 20, 1997

For: AN IMPROVED METHOD FOR THE  
PRODUCTION AND PURIFICATION  
OF ADENOVIRAL VECTORS

Group Art Unit: 1641

Examiner: Unknown

Atty. Dkt. No.: INGN:058/HYL

**REQUEST FOR COMPLETE FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

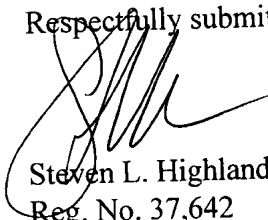
A complete filing receipt is hereby requested in view of the fact that the inventors' addresses do not appear in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the omittance has been noted in red.

Because the omittance is not due to any error by Applicant, no fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this document, the Assistant Commissioner is

hereby authorized to deduct said fee from Arnold, White & Durkee Deposit Account No. 01-2508/INGN:058/HYL.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,



Steven L. Highlander  
Reg. No. 37,642  
Attorney for Applicants

ARNOLD, WHITE & DURKEE  
P.O. Box 4433  
Houston, Texas 77210-4433  
(512) 418-3000

Date: May 22, 1998

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
08/975,519	11/20/97	1641	\$0.00	INGN:058	32	69	7

ARNOLD WHITE AND DURKEE  
P O BOX 4433  
HOUSTON TX 77210-4433

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s) *Sugarland, TX* SHUYUAN ZHANG, *Sugarland, TX* CAPUCINE THWIN, *Spring, TX* ZHENG WU, TOOHYON CHO.

CONTINUING DATA AS CLAIMED BY APPLICANT-  
PROVISIONAL APPLICATION NO. 60/031,329 11/20/96

FOREIGN FILING LICENSE GRANTED 02/19/98

TITLE  
METHOD FOR THE PRODUCTION AND PURIFICATION OF ADENOVIRAL VECTORS

PRELIMINARY CLASS: 435

RECEIVED  
U.S. PATENT  
OFFICE

REC'D - A.W.D.  
FEB 26 1998  
DOCKET DESK